



Memorandum

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TO: Senate
FROM: Dr. Christina Wolfson, Research Integrity Officer
SUBJECT: Annual Report Concerning the Investigation of Research Misconduct (2016-17)
DATE: October 25, 2017
DOCUMENT #: D17-15
ACTION REQUIRED: INFORMATION APPROVAL/DECISION

ISSUE An annual report submitted to the Senate and Board of Governors in accordance with the provisions of the *Regulations Concerning the Investigation of Research Misconduct*

BACKGROUND & RATIONALE According to article 11.6 of the *Regulations Concerning the Investigation of Research Misconduct*, the Research Integrity Officer is to provide an annual report to Senate and to the Board of Governors on the operation of the Regulations. The report includes the following:

- (i) the number of Research Misconduct allegations received;
- (ii) the number of Research Misconduct allegations investigated;
- (iii) a summary of the findings of the investigations conducted;
- (iv) a summary of any actions taken pursuant to the investigations

PRIOR CONSULTATION N/A

SUSTAINABILITY CONSIDERATIONS N/A

IMPACT OF DECISION AND NEXT STEPS The Report is presented annually at Senate and will be submitted to the Executive Committee of the Board of Governors on November 1, 2017.

MOTION OR RESOLUTION FOR APPROVAL This item is presented for information.

APPENDICES Appendix A: 2016-2017 Annual Report Concerning the Investigation of Research Misconduct

2016-2017 ANNUAL REPORT:
Regulations Concerning Investigation of Research Misconduct

Introduction

The *Regulations Concerning the Investigation of Research Misconduct* (“the Regulations”) call for the Research Integrity Officer (“RIO”) to report annually to Senate and the Board of Governors on the application of the Regulations. This is the **eighth** annual report presented to Senate and the Board of Governors in discharge of this obligation.

Background

The Regulations provide for an internal process for the assessment (inquiry) and, where appropriate, the formal investigation of allegations of research misconduct brought against members of the University community regardless of faculty or discipline.

The tables below provide statistical information concerning allegations and their disposition for the past six academic years [2011-2012 to 2016-2017]

The Big Picture

As is evident from Table 1, the number of allegations submitted varies from year to year. Overall, there is an increased awareness on campus of these issues, with more informal consultations and continuing training for graduate students. The nature of the allegations received varies from year to year.

Table 1: Nature of Allegations

	11/12	12/13	13/14	14/15	15/16	16/17	Total
Plagiarism & Authorship		1	2	3	3	1	7
Fabrication/ Falsification	5	1	4	1	1	1	13
Ethical Miscond	2			2	2	1	7
Misrep of Credentials.							
Non-comp with SOP, etc.¹							
Total	7	2	6	6	6	3	27

¹ Non-compliance with standard operating procedures

The Source of Allegations

The sources of allegations have been various as shown in Table 2. The majority of the respondents have been academic staff, though graduate students have also been implicated.

Table 2: Source of Allegations

Source of Allegation							
	11/12	12/13	13/14	14/15	15/16	16/17	Total
Agency				2	1		3
Member of University	3	1	1		1	1	7
External	4	1	5	4	4	2	20
Anonymous							
Total	7	2	6	6	6	3	30

Actions in Response to Allegations

The actions in response to the allegations received are presented in Table 3.

Table 3: Actions in Response to Allegations

Nature of Complaint	Year	Total Cases	No Prima Facie Case	Investigation Or Inquiry only ³
Plagiarism & Authorship	2011-12			
	2012-13	1		1
	2013-14	2		2
	2014-15	3		3
	2015-16	3		3
	2016-17	1		1
Fabrication/ Falsification	2011-12	5		5
	2012-13	1		1
	2013-14	4	2	(2) ²
	2014-15	1		1
	2015-16	1	0	1
	2016-17	1		1
Ethical Misconduct	2011-12	2	2	
	2012-13			
	2014-15	2	1	1
	2015-16	2	0	2
	2016-17	1		1
Totals		30	5	25

² One investigation on hold pending legal process

³ This includes investigations and inquiries that are ongoing

Inquiries and/or investigations have taken place (or are ongoing) in twenty-five cases. Research misconduct was established in seventeen. For completed cases, appropriate actions have been taken and where discipline was imposed, the sanctions ranged from reprimand to withdrawal.

Consultative Activities

In addition to the formal allegations noted above, the RIO opened ten files and conducted preliminary discussions with current or former members of the McGill community who were concerned about an issue of research misconduct, but for which no formal allegations of misconduct were submitted to the RIO.

Conclusion

The RIO and University Administration would like to take this opportunity to thank all those who have served on, or cooperated with, investigation committees. All recognize the critical importance of such allegations and the major impact that they can have on the academic and professional lives of respondents. The dedication that committee members and advisors, both faculty and students, have exhibited in these important roles, the integrity with which they have fulfilled their responsibilities, and the time and energy they have devoted to ensuring a fair and impartial investigation of all the issues deserve commendation. The RIO would like to extend her gratitude to the University and its members for the opportunity to have served in this capacity and for their cooperation and support.